

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent Application of: Lacan et al.

Serial No.: 09/988,320

Filing Date: 11/16/2001 (New)

Art Unit: 2131

Docket No.: CHA9-2001-0022US1

Title: DATA MANAGEMENT SYSTEM AND METHOD



**REQUEST FOR CORRECTED FILING RECEIPT**

Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, D.C. 20231

*Filing date granted  
is 11/16/01.  
J. Chang  
from OPLA*

Sir:

A corrected filing date is respectfully requested. Specifically, the above-identified patent application and corresponding paperwork were originally submitted via Express Mail on November 16, 2001. However, due to the United States Postal Service's suspension of Express Mail service for mail addressed to zip codes 202XX-205XX, the entire Express Mail package was returned. After being returned, the above-identified patent application and corresponding paperwork were hand delivered to the United States Patent and Trademark Office on November 19, 2001. It is requested that the filing date be changed from "11/19/2001" to --11/16/2001--. Provided is a copy of the Filing Receipt with the change noted in red.

Please see the enclosed Statement in Support of Corrected Filing Date signed by Ms. Martha Laffety. As indicated therein, Ms. Laffety originally deposited the above-identified patent application with the United States Postal Service, via Express Mail, on November 16, 2001. Also enclosed are: (1) a copy of the Express Mail label indicating a date of deposit of the above-identified patent application and corresponding paperwork with the United States Postal Service of November 16, 2001; (2) a copy of the shipment history for the Express Mail package containing the above-identified patent application and corresponding paperwork, as obtained from the United States Postal Service's world wide website; and (3) two certificates of mailing by Express Mail signed by Ms. Laffety indicating that the above-identified patent application was deposited with the United States Postal Service on November 16, 2001.

As indicated in the enclosed shipment history, the Express Mail package containing the above-identified patent application and corresponding paperwork was originally accepted by the

United States Postal Service on November 16, 2001. However, as further indicated in the shipment history, the package was not delivered to United States Patent and Trademark Office as designated on the express mail label. Rather, the package was returned to the return address of Charlotte, NC.

In view of the foregoing, it is respectfully requested that the filing date of the above-identified patent application be changed from "11/19/2001" to --11/16/2001-- and a new filing receipt be issued upon fulfillment thereof.

Respectfully submitted,



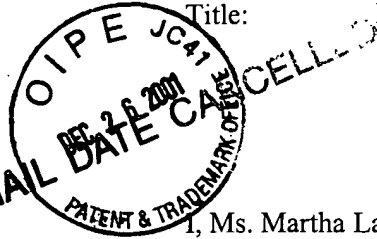
Ronald A. D'Alessandro  
Reg. No. 42,456

Date: 11/5/2001

Hoffman, Warnick & D'Alessandro LLC  
Three E-Comm Square  
Albany, New York 12207  
Phone: (518) 449-0044

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Lacan et al.  
Serial No.: 09/988,320  
Filing Date: 11/16/2001 (New)  
Art Unit: 2131  
Docket No.: CHA9-2001-0022US1  
Title: DATA MANAGEMENT SYSTEM AND METHOD



STATEMENT IN SUPPORT OF CORRECTED FILING DATE

I, Ms. Martha Laffety, in support of obtaining a corrected filing date of November 16, 2001 for the above-identified patent application, do hereby declare that:

- (1) The above-identified patent application and corresponding paperwork were originally deposited by me with the United States Postal Service via Express Mail on November 16, 2001.
- (2) Due to the United States Postal Service's suspension of Express Mail service for mail addressed to zip codes 202XX-205XX, the entire Express Mail package was returned.
- (3) After being returned by the United States Postal Service, the above-identified application and corresponding paperwork were hand delivered to the United States Patent Office on November 19, 2001.
- (4) Enclosed is a copy of the original Express Mail label indicating a date of deposit of the above-identified patent application and corresponding paperwork with the United States Postal Service of November 16, 2001.
- (5) Enclosed is a copy of the shipment history for the Express Mail package containing the above-identified patent application and corresponding paperwork, as obtained from the United States Postal Service's world wide website.

(6) As indicated in the shipment history, the Express Mail package containing the above-identified patent application and corresponding paperwork was accepted by the United States Postal Service on November 16, 2001.

(7) As further indicated in the shipment history, the Express Mail Package containing the above-identified patent application and corresponding paperwork was not delivered to the United States Patent and Trademark Office as addressed on the Express Mail label. In contrast, the Express Mail package containing the above-identified patent application and corresponding paperwork was returned to the return address (Charlotte, NC) designated on the Express Mail label.

(8) Enclosed are copies of two Certificates of Mailing by Express Mail showing a date of deposit of the above-identified patent application and corresponding paperwork with the United States Postal Service of November 16, 2001.

I hereby declare that all statements made herein of my own knowledge are true, all statements made herein on information and belief are believed to be true, and all statements made herein are made with the knowledge that whoever, in any matter within the jurisdiction of the Patent and Trademark Office, knowingly and willfully falsifies, conceals, or covers up by any trick, scheme, or device a material fact, or makes any false, fictitious or fraudulent statements or representations, or makes or uses any false writing or document knowing the same to contain any false, fictitious or fraudulent statement or entry, shall be subject to the penalties set forth under 18 U.S.C. 1001, and that violations of this paragraph may jeopardize the validity of the application or document, or the validity or enforceability of any patent, trademark registration, or certificate resulting therefrom.

I further declare that to the best of my knowledge, information and belief, formed after an inquiry reasonable under the circumstances: (1) this paper is not being presented for any improper purpose, such as to harass someone or to cause unnecessary delay or needless increase in the cost of prosecution before

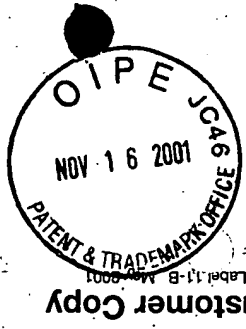
the Office; (2) the claims and other legal contentions herein are warranted by existing law or by a nonfrivolous argument for the extension, modification, or reversal of existing law or the establishment of new law; (3) the allegations and other factual contentions have evidentiary support or, if specifically so identified, are likely to have evidentiary support after a reasonable opportunity for further investigation or discovery; and (4) any denials of factual contentions are warranted on the evidence, or if specifically so identified, are reasonably based on a lack of information or belief.

Martha Laffety

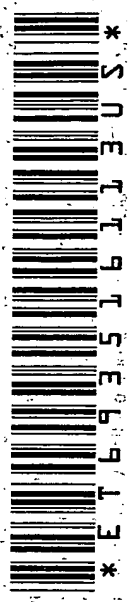
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- ARRIVAL AT UNIT, November 17, 2001, 12:21 pm, CHARLOTTE, NC 28219
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**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): **Lacan et al.**

Docket No.

**CHA920010022US1**

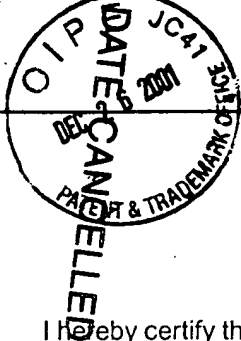
Serial No.

Filing Date

Examiner

Group Art Unit

Invention: **DATA MANAGEMENT SYSTEM AND METHOD**



I hereby certify that this Patent Application and Corresponding Paperwork

*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Commissioner of Patents and Trademarks, Washington, D.C.

20231-0001 on November 16, 2001

*(Date)*

Martha Laffety

*(Typed or Printed Name of Person Mailing Correspondence)*

*Martha Laffety*

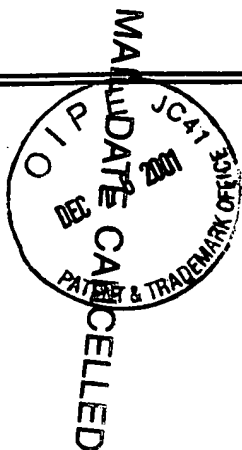
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ET693516113US

*("Express Mail" Mailing Label Number)*

**Note: Each paper must have its own certificate of mailing.**





APPLICATION  
FOR  
UNITED STATES LETTERS PATENT

APPLICANT NAME: Lacan et al.

TITLE: Data Management System and Method

DOCKET NO.: CHA920010022US1

INTERNATIONAL BUSINESS MACHINES CORPORATION

CERTIFICATE OF MAILING UNDER 37 CFR 1.10

I hereby certify that, on the date shown below, this correspondence is being deposited with the United States Postal Service in an envelope addressed to the Commissioner for Patents, Box Patent Application, Washington, D.C. 20231 as "Express Mail Post Office to Addressee" Mailing Label No. ET693516113US

on November 16, 2001

Martha Laffety  
Name of person mailing paper

Martha Laffety 11-16-01  
Signature Date

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Receipt

**TRANSMITTAL LETTER**  
**(General - Patent Pending)**

Docket No.  
**CHA920010022US1**

In Re Application Of: **Lacan et al.**

Serial No.

**09/988,320**

Filing Date

**11/16/2001 (new)**

Examiner

Group Art Unit

**2131**

Title: **DATA MANAGEMENT SYSTEM AND METHOD**

O I P E J C A G  
NOV 16 2001  
PATENT & TRADEMARK OFFICE

**TO THE COMMISSIONER OF PATENTS AND TRADEMARKS:**

Transmitted herewith is:

**Request for Corrected Filing Receipt in 2 pages**  
**Statement in Support of Corrected Filing Date in 3 pages**  
**Copy of Original Express Mail Label in 1 page**  
**Copy of Shipment History for Express Mail Package in 1 page**  
**Copies of two (2) Certificates of Mailing by Express Mail**

**Acknowledgement Postcard**  
**Marked-Up Filing Receipt**

in the above identified application.

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*Signature*

**Ronald A. D'Alessandro - Reg. No. 42,456**

**Hoffman, Warnick & D'Alessandro LLC**  
**Three E-Comm Square**  
**Albany, New York 12207**  
**(518) 449-0044 Telephone**  
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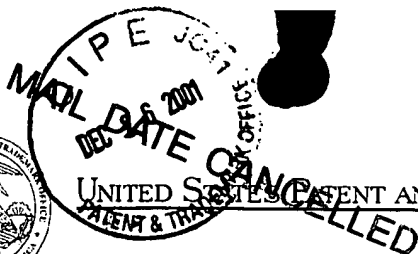
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*Wendy E. Thompson*  
*Signature of Person Mailing Correspondence*

**Wendy E. Thompson**

*Typed or Printed Name of Person Mailing Correspondence*

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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/988,320	<del>11/10/2001</del> 11/16/2001	2131	896	CHA920010022US1	4	24	4

23550  
HOFFMAN WARNICK & D'ALESSANDRO, LLC  
3 E-COMM SQUARE  
ALBANY, NY 12207



CONFIRMATION NO. 8419

## FILING RECEIPT



\*OC00000007145040\*

Date Mailed: 12/03/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

## Applicant(s)

Francis M. Lacan, London, UNITED KINGDOM;  
Ronald Perez, Mount Kisco, NY;  
Michael I. Shub, New York, NY;  
Charles P. Tresser, New York, NY;

## Assignment For Published Patent Application

International Business Machines Corporation, Armonk, NY;

## Domestic Priority data as claimed by applicant

## Foreign Applications

If Required, Foreign Filing License Granted 11/30/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

## Title

Data management system and method

